



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		1. Agency Address	FOR RECORDS MANAGEMENT USE	
Application Date 5-25-79		Comptroller General Insurance Dept./Regulatory Laws Division State Capitol-Room 236 Atlanta, Georgia 30334	Application Number 79-124	
Application Number 11-1-79			Date Received JUN 26 1979	Date Completed JUL 20 1979
2. Person to Contact Ms. Louise Winkles		Working Title Clerk-Administrative	Telephone Number 656-2074	
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void				
4. Dates of Series Earliest Latest 1948 Present		5. Records Series Title (followed by title used in office, if different) Report of Examination of Domestic Insurance Companies File		
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Comptroller General is responsible for regulating insurance companies and for administering insurance-related laws; supervising and licensing loan companies making loans of \$2,500.00 or less; and enforcing the State's Fire Safety laws and Mobile Home Sales Regulations. The Insurance Division supervises insurance companies and agents, collects premium taxes, examines policy forms and policy rates, and administers insurance-related laws. The Division also licenses agents and companies and investigates consumer complaints. The Regulatory Laws Division administers insurance-related laws; appraises annual statements from companies to determine financial stability & compliance with laws & regulations				
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: reporting the findings of financial condition examination of domestic (those companies incorporated in the State of Georgia) Life & Casualty, Non-Profits, County Mutuals, and Title companies. Included are: final report of examination by the Insurance Department of Georgia which shows: company history; management and control; corporate records; fidelity bonds and other insurance; officers, employees, and agents welfare and pension plans; territory and plan of operation; market conduct activities materially affecting financial condition (including an overview of policy forms and underwriting practices, rating and statistical reporting and treatment of policy holders); growth of company; business in force by states; mortality and loss experience; reinsurance accounts and records; financial statements, statement of assets and liabilities; statement of operations; supporting schedules and exhibits to extent deemed desirable; reconciliation of surplus for the period since last examination; analysis of changes in financial statements resulting from the examination. File is arranged alphabetically by company.				
8. Monthly Reference Rate How often are records referred to which are: One to six months old <u>rarely</u> ; Seven to twelve months old <u>rarely</u> ; Thirteen to twenty-four months old <u>rarely</u> ; twenty-five months and older <u>rarely</u> ?				
9. Annual Rate of Accumulation of Records Letter-size drawers <u>2 1/2</u> ; Legal-size drawers _____; Shelves _____; Other (specify) _____				

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
	X	c. Is this a vital record?
X		d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
X		f. Is the information contained in this series ever published? COULD BE-SEE GA. INS. CODE/SEC. 56-211(5)
X		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy. Always analyzed-this report is a summary.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|------------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | 100 _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

Must be retained until last policyholder has died or the company's policies are no longer enforceable.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal year; ☐ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area, hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

When each new Report of Examination is issued place in active file. Remove preceding Report of Examination for that company and place in inactive file; cut-off inactive file at end of each five-year period; then retire to State Archives.

NOTE: New Report of Examination is published every 3-5 years.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Ralph W. Long</i>	6-25-79	<i>Jack Anderson</i>	6-25-79
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		<i>[Signature]</i>	7-18-79
		Secretary of State/Designee	
		<i>Canally/Haw</i>	7-15-1979
		Attorney General/Designee	
		<i>[Signature]</i>	7-18-79